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APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
10/027,879	12/21/2001	Mary M. Bendik	99-024 CON	1000

7590 03/25/2004

HENRY E. BARTONY, JR.
BARTONY & HARE
LAW & FINANCE BUILDING, SUITE 1801
429 FOURTH AVENUE
PITTSBURGH, PA 15219

EXAMINER

HUYNH, CONG LAC T

ART UNIT	PAPER NUMBER
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2178

DATE MAILED: 03/25/2004

6

Please find below and/or attached an Office communication concerning this application or proceeding.

Office Action Summary

Application No.

10/027,879

Applicant(s)

BENDIK, MARY M.

Examiner

Cong-Lac Huynh

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-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --

Period for Reply

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If the period for reply specified above is less than thirty (30) days, a reply within the statutory minimum of thirty (30) days will be considered timely.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133). Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

Status

- 1) ☒ Responsive to communication(s) filed on 06 January 2000.
- 2a) ☐ This action is **FINAL**. 2b) ☒ This action is non-final.
- 3) ☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

Disposition of Claims

- 4) ☒ Claim(s) 1-15, 17 and 19-26 is/are pending in the application.
- 4a) Of the above claim(s) _____ is/are withdrawn from consideration.
- 5) ☐ Claim(s) _____ is/are allowed.
- 6) ☒ Claim(s) 1-15, 17 and 19-26 is/are rejected.
- 7) ☐ Claim(s) _____ is/are objected to.
- 8) ☐ Claim(s) _____ are subject to restriction and/or election requirement.

Application Papers

- 9) ☐ The specification is objected to by the Examiner.
- 10) ☐ The drawing(s) filed on _____ is/are: a) ☐ accepted or b) ☐ objected to by the Examiner.
Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).
Replacement drawing sheet(s) including the correction is required if the drawing(s) is objected to. See 37 CFR 1.121(d).
- 11) ☐ The oath or declaration is objected to by the Examiner. Note the attached Office Action or form PTO-152.

Priority under 35 U.S.C. § 119

- 12) ☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).
- a) ☐ All b) ☐ Some * c) ☐ None of:
1. ☐ Certified copies of the priority documents have been received.
2. ☐ Certified copies of the priority documents have been received in Application No. _____.
3. ☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).

* See the attached detailed Office action for a list of the certified copies not received.

Attachment(s)

- 1) ☒ Notice of References Cited (PTO-892)
- 2) ☐ Notice of Draftsperson's Patent Drawing Review (PTO-948)
- 3) ☐ Information Disclosure Statement(s) (PTO-1449 or PTO/SB/08)
Paper No(s)/Mail Date _____.
- 4) ☐ Interview Summary (PTO-413)
Paper No(s)/Mail Date. _____.
- 5) ☐ Notice of Informal Patent Application (PTO-152)
- 6) ☐ Other: _____.

DETAILED ACTION

1. This action is responsive to communications: amendment filed 1/6/04 to the application filed on 12/21/01 which is a continuation of the application 09/378,785 filed on 8/23/99, now abandoned.
2. Claims 16 and 18 are canceled.
3. Claims 1-15, 17, 19-26 are pending in the case. Claims 1, 11, 12, 17, 20, 21 are independent claims.
4. The objection of the priority has been withdrawn in view of the amendment of the specification to include in the first sentence of the specification the continuation relationship of the application.
5. The objections of drawings and the specification as failing to include item 410 and item 420 in figures 5A and 5B as disclosed in the specification have been withdrawn in view of the amendment of the specification.
6. The rejections of claims 6 and 11 under 35 U.S.C. 103(a) as being unpatentable over Porter in view of Herr-Hoyman have been withdrawn in view of Applicants' arguments.

Claim Rejections - 35 USC § 103

7. The following is a quotation of 35 U.S.C. 103(a) which forms the basis for all obviousness rejections set forth in this Office action:

(a) A patent may not be obtained though the invention is not identically disclosed or described as set forth in section 102 of this title, if the differences between the subject matter sought to be patented and the prior art are such that the subject matter as a whole would have been obvious at the time the invention was made to a person having ordinary skill in the art to which said subject matter pertains. Patentability shall not be negated by the manner in which the invention was made.

8. Claims 1-5, 7-10, 12-15, 17, 19, 21, 23-26 remain rejected under 35 U.S.C. 103(a) as being unpatentable over Porter et al. (US Pat No. 5,845,067, 12/1/98, filed 9/9/96) in view of Herr-Hoyman et al. (US Pat No. 5,727,156, 3/10/98, filed 4/10/96).

Regarding independent claim 1, Porter discloses:

- creating a document profile that includes fields of attributes of a document (col 3, lines 45-55, col 7, lines 26-67, figure 7)
- each document has a unique identifier for identifying the location of the document content in the file system (col 11, lines 44-55) where the unique identifier being visible to users of the document management system and providing information about the document to the users (col 11, lines 44-62: the fact that the list of the document keys is *accessed by users* where a *document key* consists of a *document identifier* and a service identifier suggests that the unique identifier be *visible to users* since the unique identifier would be also accessed when users accessing the document keys; also, since the unique identifier provides the location of the document in the file system, the unique identifier provides information about the document to users)

Porter does not disclose:

- the unique identifier of a document including at least a first portion including information descriptive of an attribute of the document and at least a second portion including an automatically generated number

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Herr-Hoyman discloses a scheme for generating a unique identifier wherein the unique identifier including a short sequence of characters related to a company name, possible including additional characters or digits to ensure that the generated unique ID is unique (col 3, lines 57-67)

It would have been obvious to one of ordinary skill in the art at the time of the invention was made to have combined Herr-Hoyman into Porter since Herr-Hoyman discloses a scheme for generating a unique identifier that includes a sequence of characters such as a company name with additional digits, providing the advantage to apply the unique document identifier scheme to generating a document identifier in Porter. By including an author name instead of a company name with a number or a digit to *make the identifier to be unique* (since the author name is one of the properties of document profile in Porter), this method would provide a fast way for identifying a document when accessing a document in a database.

Regarding claim 2, which is dependent on claim 1, Porter does not disclose that the first portion of the document identifier is descriptive of the author of the document.

As mentioned in claim 1, Herr-Hoyman discloses that the unique ID includes a short sequence of characters related to a company name (col 3, lines 58-62).

It would have been obvious to one of ordinary skill in the art at the time of the invention was made to have combined Herr-Hoyman into Porter since Herr-Hoyman teaches the sequence of characters is a company name and Porter provides author's name as one of the properties of a document. This motivates to use the author's name instead of the

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company name as a portion of the document identifier for providing the information of a document.

Regarding claims 3 and 4, which is dependent on claims 1 and 2 respectively, as disclosed in claim 1, Herr-Hoyman provides the sequential numbers in addition to the sequence of characters to ensure that the generated unique ID is unique (col 3, lines 57-65).

Regarding claim 5, Porter discloses that when a new document is entered into the document management system, the document content and the document profile are indexed (col 11, lines 16-22) for the purpose of criteria searching. The document identifier, therefore, is generated from the beginning before the document is entered (col 11, lines 16-51).

Also, Herr-Hoyman discloses that the first step when creating the web pages, the author of the web pages enter company data, which is an attribute of a web page and is an element to generate the unique ID (col 3, lines 50-65).

Regarding claim 7, which is dependent on claim 1, Porter discloses the linking of the document profile to a file type that is not created within the document management system (col 3, lines 45-65: the document profile is transmitted via the messaging system where the recipient of the copy of the document profile may be another file system or

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another server where another file system or another server is not within the document management system).

Regarding claim 8, which is dependent on claim 1, Porter does not explicitly disclose creating of an email message via a messaging system external to the document management system including a link to document profile using a selector within the document management system so that the recipient of the message can access the document associated with the document profile if the recipient has appropriate authorization to access the document associated with the document profile.

However, Porter does disclose:

- the document profile is transmitted via the messaging system where *the recipient of the copy of the document profile may be another file system or another server* where it is clear that another file system or another server is not within the document management system (col 3, lines 45-55)
- the access permission for the document profile where different levels of access permission ranging from authorization to see, to access and edit the document content, or change the access permission depending on whether the individual is a member in the group or not (col 8, lines 10-34)

Therefore, it would have been obvious to one of ordinary skill in the art at the time of the invention was made to have modified Porter to include the step of creating an email message via a messaging system external to the document management system since the recipient of the transmitted document profile can be *from another system or another*

server, which means an external system, and the fact that the document profile is transmitted by a messaging system including an email further suggests that the messaging system of the recipient linking to document profile in the document management system is external to the document management system. Further, the access permission to the document associated with the document file suggests that a recipient of a transmitted document can access the document profile if the recipient has an access authorization. Also, it was well known that in sending a message, a SEND button, among other buttons on the window, is selected to press for sending a message. Said button, thus, is considered as a selector in the document management system.

Regarding claim 9, which is dependent on claim 1, Porter discloses that the email message via a messaging system external to the document management system including a copy of the document using a selector within the document management system so that the recipient of the message can access the copy of the document (col 3, lines 35-55: the recipient of the document copy is from another file system or another server, which is external to the document management system; figure 8A, col 16, lines 59-65: accessing the document content based on the information of the profile; the selector feature is mentioned in claim 8).

Regarding claim 10, which is dependent on claim 1, Porter discloses the defining of user access permission in the document profile, wherein the step of defining user

access permission includes the step of acquiring the identity of the user from a source external to the document management system (col 8, lines 10-34, col 13, lines 45-61).

Independent claim 12 includes the limitations of claims 1 and 7, and therefore is rejected under the same rationale.

Regarding claim 13, which is dependent on claim 12, it would have been obvious to one of ordinary skill in the art at the time of the invention was made to have recognized that the file type is a word processing document as in Porter (figure 7, col 7, lines 29-31).

Regarding claim 14, which is dependent on claim 12, Porter discloses the file type is an email record (col 3, lines 35-50).

Independent claim 15 includes the limitations of claims 1, 7 and 8, and therefore is rejected under the same rationale.

Independent claim 17 includes the limitations of claims 1 and 9, and therefore is rejected under the same rationale.

Regarding claim 19, which is dependent on claim 10, Porter discloses that the source of identity of the user is an operating system security system or a database security system (col 14, lines 10-18).

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Claims 21, 23-26 are for the document management system of method claims 1, 7-10, and therefore are rejected under the same rationale.

9. Claim 20 is rejected under 35 U.S.C. 103(a) as being unpatentable over Porter et al. (US Pat No. 5,845,067, 12/1/98, filed 9/9/96).

Regarding independent claim 20, Porter discloses:

- creating at least one document profile that includes fields of attributes of an associated document content (col 3, lines 45-55, col 7, lines 25-67, figure 7)
- storing the document profile in a database (col 7, line 26 to col 8, line 34)
- creating document content associated with the document profile (col 7, lines 25-67)
- storing the document content external to the database in a file system of a first storage device (it was well known that a created document can be stored in a different disk storage of a file system *separate from the database*)
- defining in the document management system at least a second storage device to which the document content is to be copied when stored in the first storage device (it was well known that one can create a new directory or a new folder for storing documents or for copying documents from another directory or another folder to)
- copying the document content from the first storage device to a second storage device (it was well known to copy files or documents from one folder or directory,

which is a first storage device, to another folder or directory, which is a second storage device)

Porter does not explicitly disclose exiting document. However, it would have been obvious to one of ordinary skill in the art at the time of the invention was made to have modified Porter to include exiting document since it was well known to exit a document by closing it.

10. Claims 6, 11, 22 are rejected under 35 U.S.C. 103(a) as being unpatentable over Porter in view of Herr-Hoyman as applied to claims 1 and 21 above, and further in view of Gibbon (US Pat No. 6,473,778 B1, 10/29/02, filed 2/1/99).

Regarding claim 6, which is dependent on claim 1, Porter and Herr-Hoyman do not disclose explicitly requiring selection of a predefined document template from a set of predetermined templates for the document during creation of the document profile, the document template defining the format of the document.

Gibbon discloses selecting a predefined template for creating a document where the document template defines the format of the document (figure 9 and col 13, line 53 to col 14, line 7).

It would have been obvious to one of ordinary skill in the art at the time of the invention was made to have combined Gibbon into Porter since Gibbon teaches selecting a predetermined document template for the document wherein the document template defines the format of the document providing the advantage to apply to the creation of

document in Porter by *creating predetermined templates* having the various properties of the document profile and of the document content for *user to select*. This would provide a faster and more convenient way in creating documents instead of selecting every single desired element in the document profile and in the document content to create a document.

Independent claim 11 includes the limitations of claims 1 and 6, and therefore is rejected under the same rationale.

Claim 22 is for the document management system of method claim 6, and is rejected under the same rationale.

Response to Arguments

11. Applicant's arguments filed 1/6/04 have been fully considered but they are not persuasive.

Regarding independent claims 1 and 21, Applicants argue that the unique ID (C_ID field) of Herr-Hoyman is actually a login number for which an associated password is created in connection with a web page uploaded by a client to a server on the Internet. Unlike the case of Herr-Hoyman, the unique identifier of the invention is not a security measure designed to restrict access, but designed to facilitate access without the requirement of searching (Remarks, pages 14-15).

Examiner agrees.

However, it is clear that in Herr-Hoyman, the unique identifier is *for identifying a web page, which is a document*, for accessing a document. In the identifier generating scheme, each unique identifier is generated by including a sequence of characters such as a company name and additional digits to make the identifier unique (col 3, lines 57-67). Therefore, the created unique identifier can be applied in either restrict access or fast access since the identifier is used for quickly identifying something.

Porter does teach the unique identifier for each document to identify the location of a document in a file system (col 11, lines 44-52).

It would have been obvious to one of ordinary skill in the art at the time of the invention was made to have combined Herr-Hoyman into Porter since Herr-Hoyman discloses a scheme for generating a unique identifier that includes a sequence of characters such as a company name with additional digits, providing the advantage to apply the unique document identifier scheme to generating a document identifier in Porter. By including an author name instead of a company name with a number or a digit to *make the identifier to be unique* (since the author name is one of the properties of document profile in Porter), this method would provide a fast way for identifying a document when accessing a document in a database.

Regarding claims 6 and 11, Applicants argue that Porter does not disclose or suggest requiring selection of a predetermined document template for the document during creation of the document profile, wherein the document template defines the format of the document since the file room, file tray, and briefing book of Porter are not the same

as the document template but merely determine how documents are organized and stored (Remarks, page 15).

Examiner agrees.

Gibbon, in combination with Porter, discloses selecting a predefined template for creating a document where the document template defines the format of the document (figure 9 and col 13, line 53 to col 14, line 7).

It would have been obvious to one of ordinary skill in the art at the time of the invention was made to have combined Gibbon into Porter since Gibbon teaches selecting a predetermined document template for the document wherein the document template defines the format of the document providing the advantage to apply to the creation of document in Porter by *creating predetermined templates* having the various properties of the document profile and of the document content for *user to select*. *This would provide a faster and more convenient way in creating documents* instead of selecting every single desired element in the document profile and in the document content to create a document.

Regarding claims 7 and 12, Applicants argue that Peter does not disclose or suggest further linking the document profile to a file type that is not created within the document management system since the "related to" category in Porter simply lists any document within the filing cabinets of the document management system whereas the link feature of the invention links documents from other database system (Remarks, page 16).

Examiner agrees.

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However, in another part of reference, Porter does disclose linking the document profile to a file type that is not created within the document management system (col 3, lines 45-65: the document profile is transmitted via the messaging system where the recipient of the copy of the document profile may be another file system or another server *where another file system or another server is not within the document management system*).

Regarding claims 8 and 15, Applicants argue that Porter does not disclose or suggest creating an email message via a messaging system external to the document management system including a link to the document profile using a selector within the document management system so that a recipient of the message can access the document associated with the document profile if the recipient has appropriate authorization to access the document associated with the document profile (Remarks, page 16).

Examiner respectfully disagrees.

As mentioned above, Porter discloses the document profile is transmitted via the messaging system where the recipient of the copy of the document profile may be another file system or another server where another file system or another server is not within the document management system (col 3, lines 45-55). Porter further discloses the access permission for the document profile where different levels of access permission ranging from authorization to see, to access and edit the document content, or change the access permission depending on whether the individual is a member in the group or not (col 8, lines 10-34)

It is suggested to include the step of creating an email message via a messaging system external to the document management system since the recipient of the transmitted document profile can be *from another system or another server, which means an external system*, and the fact that the *document profile is transmitted by a messaging system including an email further suggests that the messaging system of the recipient linking to document profile in the document management system is external to the document management system*. Further, the access permission to the document associated with the document file suggests that a recipient of a transmitted document can access the document profile if the recipient has an access authorization. Also, it was well known that in sending a message, a SEND button, among other buttons on the window, is selected to press for sending a message. Said button, thus, is considered as a selector in the document management system.

Regarding claim 20, Applicants argue that Porter does not disclose or suggest a document management system in which one can define at least a second storage area or device to which the document content is to be copied when stored in the first storage device (Remarks, page 17).

Examiner respectfully disagrees.

Porter does teach the file room, which is a form of storage for storing documents (figure 11 A, col 12, lines 4-31). Also, it was well known in document processing that one can create a new directory to copy the documents which are stored a storage in the system to.

Conclusion

12. The prior art made of record and not relied upon is considered pertinent to applicant's disclosure.

Whang et al. (US Pat No. 6,394,308 B1, 2/19/02, filed 2/15/99).

Hosotsubo (US Pat No. 6,009,485, 12/28/99, filed 5/16/96).

Lin et al. (US Pat No. 6,610,104 B1, 8/26/03, filed 7/9/99).

Weibel et al. (US Pat No. 6,505,173 B1, 1/7/03, filed 10/15/99).

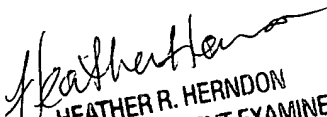
Tamping et al. (US Pat No. 6,324,551B1, 11/27/01, filed 8/31/98).

13. Any inquiry concerning this communication or earlier communications from the examiner should be directed to Cong-Lac Huynh whose telephone number is 703-305-0432. The examiner can normally be reached on Mon-Fri (8:30-6:00).

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Heather Herndon can be reached on 703-308-5186. The fax phone number for the organization where this application or proceeding is assigned is 703-872-9306.

Information regarding the status of an application may be obtained from the Patent Application Information Retrieval (PAIR) system. Status information for published applications may be obtained from either Private PAIR or Public PAIR. Status information for unpublished applications is available through Private PAIR only. For more information about the PAIR system, see <http://pair-direct.uspto.gov>. Should you have questions on access to the Private PAIR system, contact the Electronic Business Center (EBC) at 866-217-9197 (toll-free).

Clh
3/19/04


HEATHER R. HERNDON
SUPERVISORY PATENT EXAMINER
TECHNOLOGY CENTER 2100